

UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK

-----X
MICHAEL GRAUER,

Plaintiff,

- against -

UBS FINANCIAL SERVICES, INC.,
THOMAS REICHERT, and BARRY CONNELL,

Defendants.

-----X
UBS FINANCIAL SERVICES, INC.,
THOMAS REICHERT, and BARRY CONNELL,

Counterclaim Plaintiffs,

- against -

MICHAEL GRAUER,

Counterclaim Defendant.
-----X

USDC SDNY
DOCUMENT
ELECTRONICALLY FILED
DOC #:
DATE FILED: 12/11/07

07 Civ. 5450 (LAP) (DCF)

**ORDER PERTAINING TO THE PROTECTION OF
REGULATORILY PROTECTED CUSTOMER INFORMATION**

WHEREAS, in Plaintiff's Request for the Production of Documents, as well as Interrogatories (the "Requests"), Plaintiff requested that Defendants UBS Financial Services Inc ("UBSFS"), Barry Connell and Thomas Reichert produce documents and other information that may contain confidential and personal information of UBSFS' clients;

WHEREAS, the ~~Securities and Exchange Commission, which governs the~~ *Court understands that there are various rules which* ~~conduct of securities firms such as UBSFS, pursuant to its Regulation S-P, requires securities~~ firms to protect the confidentiality of personal information relating to clients;

it might well be that
WHEREAS, ~~in accordance with Regulation S-2~~, UBSFS cannot produce documents and other information containing personal information relating to clients that are responsive to the Requests absent an appropriate order of the Court:

IT IS HEREBY ORDERED THAT:

1. Any personal client information that has been or will be produced by Defendants in this action in response to the Requests, or subsequent discovery demands, is deemed to have been produced pursuant to order of the Court in this action in accordance with *all applicable rules subject to the terms of the* ~~the provisions and terms of Regulation S-2 issued by the Securities and Exchange Commission~~ *Confidentiality Order in this action.*
2. This Order shall not constitute a waiver of any other objections that UBSFS might have to the Requests, or any specific request therein or hereafter, and is not an admission by UBSFS that this information is relevant and/or admissible in this action.

Loretta A. Preska
Loretta A. Preska
United States District Judge

Dated: *December 11, 2007*